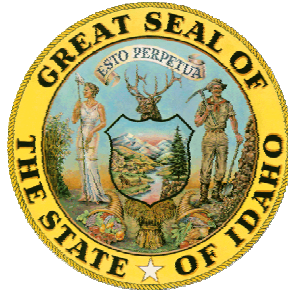


# State of Idaho Military Division Bureau of Homeland Security



## 2005 Emergency Management Performance Grant

### Guidance and Application for Counties



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# I – INTRODUCTION

## MISSION STATEMENT

### *We Will.....*

- *Reduce potential consequences of all hazards.*
- *Ensure creditable response to emergencies.*
- *Facilitate recovery from disaster.*

### BHS Long Term Vision

*Provide the expertise and assistance necessary to prepare Idaho for all threats.*

### BHS Programs in Support of Local Government:

#### Mitigation

- Pre Disaster Mitigation
- Post-Disaster Mitigation
- Flood Mitigation
- Earthquake
- Geographic Information Systems
- WebEOC
- Disaster Resistant Communities

#### Preparedness

- Emergency Plans
- Training
- Exercises
- IDAVOAD
- Citizen Corps/CERT
- Warnings
- EAS
- Incident Command System

#### Response

- HazMat Response
- ODP Equipment
- LEPCs
- Amateur Radio

#### Recovery

- Individual Assistance
- Public Assistance
- Hazard Mitigation
- Crisis Counseling
- Community Relations

#### Logistics

- Web-Based Grant Reporting
- Logistics
- Communication
- Equipment Database
- Inventory Tracking

#### Finance and Admin

- ODP Grant Management
- EMPG Grant Management
- Cost Recovery
- Compliance with Federal laws
- Agreement repository

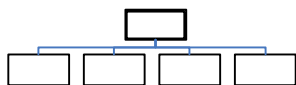
Earlier this year the Idaho Legislature created the Bureau of Homeland Security (BHS) by merging the Bureaus of Disaster Services and Hazardous Materials. The Legislature also amended both the Idaho Disaster Preparedness Act of 1975 and the Idaho Hazardous Substance Response Act to reflect the reassignment of statutory responsibilities to the newly created Bureau of Homeland Security.

Given the dynamic atmosphere of change driven by domestic and world events, the Bureau of Homeland Security is stepping-up to today's challenging environment. Merging the two bureaus is a statement of commitment by the Governor and the Idaho Legislature to place the Bureau at the front line of emergency management. The Director of BHS is carrying out the Bureau's Mission with a renewed intensity and commitment to provide an atmosphere of interagency **Teamwork**.

The Idaho Bureau of Homeland Security will provide expertise, guidance and assistance toward the development of partnerships with all federal, state, tribal nations and local governments and agencies to prepare, respond, recover and mitigate all-hazards.

- *The Bureau of Homeland Security is committed to a collaborative approach when assisting local, tribal nations and state agencies manage the tasks necessary to optimize emergency response capabilities. Our commitment to quality service will help achieve our Vision of a better prepared Idaho.*
- *BHS is redefining the term "Support for Local Jurisdictions" with an invigorating dedication to find answers, solve problems and facilitate partnerships. It is our resolve to be the help center for emergency management issues in Idaho.*
- *BHS believes that intelligence and technology will guide emergency management into the future. Technology such as the Internet and Geographic Information Systems (GIS) are tools BHS is beginning to implement in its commitment to emergency management planning, preparation, response and recovery.*
- *The Bureau's bottom line is to create, develop and work within an atmosphere of accord with local, tribal nations and state agencies. This collaboration will help to resolve the perplexities of today's rapidly changing emergency preparedness environment.*

## ICS Organizational Structure



### The Bureau's commitment includes:

- Assist in the development of local Emergency Operations Plans (EOP).
- Provide coordination for local Offices of Emergency Management (OEM), first responders, tribal and county government to develop and implement training exercises.
- Serve as a 'Help Center' to assist in navigating the maze of tasks necessary for obtaining and reporting on government funding.

### **BHS WISDOM**

#### **Favorite quote of Bill Bishop, BHS Director**

*"You can't always get what you want, but if you try sometimes you just might find . . . you just might find you get what you need!"*

#### **"BHS is a diversified knowledge base"**

*Frischmuth*

**"Meet the needs of our clients through their eyes"** *Jensen*

BHS stands ready to help all of Idaho's jurisdictions move to the **Incident Command System** (ICS). The Bureau recognizes that ICS will provide every level of government with a superior organizational structure that can be used in day-to-day emergencies and during major disasters.

BHS has begun employment of ICS and will utilize its benefits internally and within the Idaho Emergency Operations Center (IDEOC). This implementation not only dovetails with a directive from the U.S. Department of Homeland Security (DHS) to adopt the ICS system, but will comply with guidelines set forth by the National Incident Management System (NIMS).

The DHS directive requires the adoption of the ICS portion of NIMS by state, tribal nations and local agencies making ICS a pre-condition for federal preparedness assistance beginning in FY 2005. This positive approach will lead Idaho's emergency response element into the future and enable BHS to realize its vision.

### **"ALL DISASTERS ARE LOCAL"**

To support local government's emergency management needs, the Emergency Management Program Grant (EMPG) is the primary tool BHS uses to facilitate local preparedness.

In addition to EMPG funds, BHS dedicates a large portion of its share of state resources to further enhance local benefits. Through our *Home Office Program Specialist* and *Area Field Officers*, BHS is able to foster partnerships, reformat projects to accommodate the needs of our clients, constituents and colleagues, provide liaison services and offer 'Help Center' assistance for any emergency management issues.

\*\*\*\*\*

The future will remain a challenge for those providing emergency services within Idaho. Intent, clarity and follow-through will assure success in our endeavor to improve emergency management throughout the state.

BHS is committed to collaboration and partnerships with tribal nations, local and state agencies and has defined the Bureau's mission and vision for the future. The EMPG is the funding vehicle that will allow counties, tribal nations and local emergency management programs to move forward. BHS looks forward to expanding our partnership over the grant period.

## **II – BHS GRANT INFORMATION**

Registered with the U.S. Department of Homeland Security Office of Domestic Preparedness (ODP) as the Idaho State Administering Agency (SAA), the Bureau of Homeland Security administers several grant programs in the emergency management and first responder arena. Now that the Emergency Management Performance Grant (EMPG) has been moved over into the ODP, it will be governed differently. How differently, at the time of this

guidance, we do not know and cannot anticipate with assurance. However, we do know that the BHS will continue to provide the latest guidance and direction to all of our recipients in each of our grant programs.

This chapter of guidance will focus on the various grants administered by BHS. They will be listed with a brief description. The purpose is to help our local and tribal officials have a general understanding of the scope of grants that come through the Bureau.

### **ALL HAZARD GRANTS (non-disaster)**

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1. **EMPG** – The Emergency Management Performance Grant (EMPG) is the only emergency management formula. It is authorized by Congress annually to assist in developing an effective emergency response system at the state and local government level that can handle disasters and emergencies of all types and sizes. It provides the only source of federal assistance to state and local emergency managers to help with their preparedness capabilities. It is the backbone of the emergency management community and is currently the only funding source that addresses all hazards.

The planned allocation for the FY 2005 financial assistance is approximately the same as last year's awarded level. This grant has the same 50/50% non-federal share requirement as last year and is a one year grant that starts October 1 of each year and going until September 30 of the next.

To see the amount of proposed county and tribal allocations, please see Appendix C. To see the amount of proposed county allocations, please see Appendix D.

2. **Pre-Disaster Mitigation** – Pre-Disaster Mitigation (PDM) provides funds for mitigation planning and mitigation projects. Funds are appropriated annually by Congress, typically well into the federal fiscal year, but the period of performance is 24 months. Grants will be awarded on a competitive basis using criteria identified in the State Hazard Mitigation Plan. Match requirements are 75/25.

**NOTE:** After November 2004, a FEMA-approved mitigation plan is prerequisite for obtaining federal assistance for mitigation **projects** either pre- or post-disaster. Planning assistance is eligible under the PDM grant.

3. **Flood Mitigation Assistance (FMA)** – The Flood Mitigation Assistance (FMA) program provides funding to assist entities in implementing measures to reduce or eliminate the long-term risk of flood damage to structures insurable under the National Flood Insurance Program (NFIP). A FEMA-approved mitigation plan is prerequisite for obtaining **project** funding.

Currently FMA is focused on projects mitigating repetitive-loss properties, which restricts funds availability. Funding is available for the flood portion of an all-hazards mitigation plan. This grant is announced later in the federal fiscal year when program funds are available. Grants will be awarded on a competitive basis using criteria identified in the State Hazard Mitigation Plan. Match requirements are 75/25.

4. **State Homeland Security Program** – Grants have been made available to fund activities providing vital funding needed to ensure the safety and security of our homeland. Through the Department of Homeland Security's (DHS) Office for Domestic Preparedness (ODP), emergency prevention, preparedness and response personnel will receive over \$4 billion in funding for our nation's homeland security. The 2004 appropriation by Congress is a firm commitment to continue to protect and defend the security of the United States of America against the threat posed by terrorism. Every year there are two types of assistance provided: special programs that are specifically targeted and constant programs that the State of Idaho has funded on an ongoing basis. These funding programs are currently:



- Equipment
- Citizen Corps – including the Community Emergency Response Team program (CERT);
- Exercises
- Training
- Law Enforcement Terrorism Prevention

### **RESPONSE AND RECOVERY GRANTS (disaster)**

Response and Recovery Grants – These grants are only applied for under a Presidential disaster declaration. They include HUD DRI, Individual and Household Program (IHP), Crisis Counseling (CC), the Hazard Mitigation Grant Program (HMGP) and Public Assistance (PA).

### **BHS STAFF RESPONSIBILITIES FOR GRANTS**

The Area Field Officers are the principle point of contact for all grants sponsored by BHS. They can assist the counties and tribal nations to apply for, manage and closeout each grant. Their close proximity to the region is a convenient way for all participants to get guidance and direction as well as problem solving assistance. Tribal emergency management directors, county coordinators, commissioners and clerks work directly with their AFO to coordinate all grant activities.

They are assisted by the BHS Boise staff to serve the needs of the emergency management community within each region. All calls regarding grant questions or assistance should be directed through the AFO. For quick reference, the table below shows the Area Field Officers, their telephone numbers and a list of the counties and tribal nations in their area.

**Note:** At this time, Gary W. Davis has been deployed to Iraq, with the Marine Corps and is expected to return in the fall of 2004. In the meantime, his area is being assisted by neighboring AFO's.

Table 1.					
North AFO	North Central AFO	Southwest AFO	Central AFO	Southeast AFO	Northeast AFO
<b>Fred Heywood</b>	<b>Debi Ruppe</b>	<b>Pat Lucas</b>	<b>Gary W. Davis</b>	<b>Ken Fagnant</b>	<b>Mike Clements</b>
(208) 755-1988	(208) 791-4161	(208) 861-4656	(208) 308-2961	(208) 251-0185	(208) 589-0754
(208) 666-6738	(208) 799-5127	(208) 334-3460	(208) 736-3076	(208) 238-9113	(208) 745-8641
Benewah	Clearwater	Ada	Blaine	Bannock	Bonneville
Bonner	Idaho	Adams	Camas	Bear Lake	Butte
Boundary	Latah	Boise	Cassia	Bingham	Clark
Kootenai	Lewis	Canyon	Gooding	Caribou	Custer
Shoshone	Nez Perce	Elmore	Jerome	Franklin	Fremont
Kootenai Tribe	Nez Perce Tribe	Gem	Lincoln	Oneida	Jefferson
Coeur d'Alene		Owyhee	Minidoka	Power	Lemhi
Tribe		Payette	Twin Falls	Bannock-Shoshone	Madison
		Valley		Tribe	Teton
		Washington		Blaine	
		Camas		Cassia	
		Gooding		Lincoln	
		Jerome		Minidoka	
				Twin Falls	
Temporarily these counties will be assisted by Pat Lucas and Ken Fagnant					

### III – AREAS OF EMPHASIS FOR 2005 EMPG

To assist the recipients in using the EMPG, this year's emphasis at the state and federal levels are on mitigation, preparedness with focus on the National Incident Management System, training, technology and the Emergency Alert System (EAS) including the Amber Alert Program. Possible activities for the Recipients are also suggested.

#### STATE MITIGATION STRATEGIES AND POSSIBLE RECIPIENT ACTIVITIES

BHS Mitigation has a number of program-specific strategies for 2004 for reaching its target performance indicators. These strategies are noted in the left column of the table below, along with sample activities in the right column, which Recipients may carry out using the EMPG and other hazard mitigation funding.

The emergency management community continues to educate the public about ways to reduce the impact of disasters on their homes and property, such as creating safe rooms, providing chimney straps and foundation bolts, installing fire resistant roofs and elevating electrical outlets and utilities. Citizen Corps Councils should be used as a means to disseminate these messages at the local level.

There is a strong correlation between the protections that natural hazard mitigation affords and the reduction of potential damage from man-made threats. It is, therefore, both prudent and cost beneficial to seek opportunities to simultaneously mitigate natural and man-made hazards with one physical improvement.

Mitigation strategies and possible activities are summarized in the following table:

State Mitigation Strategies	Recipient Activities
Provide guidance and technical assistance to state, tribal and local governments to enable them to develop multi-hazard mitigation plans. Review plans and provide comments or approvals in a timely manner.	Develop multi-hazard mitigation plans in accordance with 44 CFR Part 201 to be eligible to receive mitigation project grants.
Implement the FY 2005 Competitive Pre-Disaster Mitigation (PDM) grant program. Provide guidance and technical assistance to ensure competitive applications.	Identify planning or eligible projects and develop complete, accurate and eligible applications using FEMA eGrants.
Actively coordinate with other agencies and organizations to identify ways to work together to support mitigation goals and keep and secure new partnerships with businesses, non-profit, faith-based and public sector organizations.	Continue to engage existing partnerships or councils to increase the knowledge and capability available to carry out mitigation activities and programs and to augment Recipient emergency management resources
Support the development and use of seismic design guidance for new construction and for upgrading existing buildings and other structures.	Adopt the Uniform Code for Building Conservation to provide cost-effective seismic upgrades to older buildings.
Increase the number of Emergency Action Plans in communities located below significant and high-hazard-potential dams	Identify at-risk communities without Emergency Action Plans and work with those communities to develop Emergency Action Plans



## ***PREPAREDNESS DIVISION EMPHASIS, STRATEGIES AND PRIORITIES***

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The 2005 Emergency Management Program Grant takes emergency management to a new juncture. The recently released National Incident Management System (NIMS) has obligated all levels of government to rethink how they support emergency response and recovery activities.

In addition, a new and influential player has come to town. The Office of Domestic Preparedness (ODP) Grant Program has been injecting millions of dollars into Idaho's emergency response systems. Funding for equipment, planning, training and exercising has created a wave of increased first responder capability.

The challenge for Idaho's emergency management community is to harness this newfound energy without dampening its momentum. The BHS Plans Section is taking on the challenge, but needs your help.

The Plans Section has begun to develop a planning strategy that will result in a planning guide that can be used by any jurisdiction to update or develop new plans. In general, our strategy will build on existing emergency operations plans to negate the need to start from scratch. Adjustments to existing plans will be suggested to ensure the continuity and interoperability among jurisdictions. The fundamental concepts required by NIMS and the soon to be published National Response Plan, will be addressed in the guidance.

Intrastate mutual aid agreements are fundamental to every jurisdiction's ability to support long-term response operations during the most catastrophic disasters. Many jurisdictions need planning assistance; that assistance may take the form of a few question-and-answer sessions over the phone, to dispatching a team of technical specialists to facilitate a planning meeting. Additional types of planning support are under consideration. Our goal is to fulfill your emergency planning needs.

It is essential that we build upon the added capability generated by the ODP equipment program. As the new ODP equipment is delivered, training, planning and exercising must be quick to follow. The emergency response community should follow through on their commitment to resolve deficiencies with additional training, developing standard operating procedures, or adjust their organization and exercise the improvements.

Given the evolving national standards for incident management, the increasing response capability resulting from ODP equipment, training, planning and exercising grants, it is incumbent for the emergency management coordinator to direct traffic as team development begins. There is a wide range of significant coordination and leadership issues to be addressed. Consider implementing or adopting some of the items listed below as priority for your county, tribal nations, cities and departments.

- Work with your jurisdiction, to understand the National Incident Management System and adopt it by Resolution.
- Designate the Incident Command System as the standard for managing all on-scene response operations.
- Encourage all political subdivisions to become signatory to an intra-agency mutual aid agreement to ensure the availability of outside assistance.
- Update emergency plans so they are interoperable with departmental, city, county, tribal nations and state response plans.
- Develop exercise programs that reinforce the logistical support networks available at the tribal and county emergency operations center as well as the state.
- Work with the Bureau of Homeland Security to integrate the use of geographic information systems (GIS) to support local training, planning and exercise needs.
- Develop programs that utilize volunteers to assist with appropriate response activities.

- Complete your pre-disaster mitigation plan to ensure the availability of mitigation assistance following a disaster.

### ***TRAINING EMPHASIS***

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The Idaho Bureau of Homeland Security will continue to support the development and maintenance of integrated comprehensive all-hazards emergency preparedness programs through the delivery and facilitation of training and assessment through exercises. The training delivery will be primarily focused in specific areas with a limited number of offerings available for specific community training needs. Communities may still communicate their specific training requests through the course request process. This training will be provided according to available resources.

The delivery of the training program requires a balance of activities that address the various time, financial and operational constraints of emergency programs and personnel while meeting the identified training needs. The training program must also address these identified needs with a combination of training delivery techniques that incorporate the cognitive, psychomotor and affective learning domains. This will be accomplished through the following training delivery approaches.

- **Traditional Training Courses** developed by FEMA and the Idaho Bureau of Homeland Security generally focus on the cognitive and affective adult learning domains. Requires one to three days for delivery and are open to all applicants.
- **Traditional Training Seminars** include brief, narrow-scoped topical training presentations developed by the Idaho Bureau of Homeland Security. Takes one to six hours for delivery and generally focus on the cognitive domain.
- **Community-Specific Workshops** are narrow-focused training events tailored to a specific community to deliver training and develop a product simultaneously utilizing the cognitive, psychomotor and affective learning domains. The community-specific workshops require additional effort and commitment from the sponsoring community to recruit participants and provide supporting background information to help tailor the workshop to local needs.
- **Regional Workshops** are training events that focus on a specific topic and utilize the cognitive, psychomotor and affective learning domains. They provide the opportunity for local teams to work with their neighboring communities to develop a product and attend training simultaneously. The regional workshops require additional effort and commitment from the sponsoring region to recruit the appropriate participants from the local jurisdiction and to provide supporting background information to help tailor the workshop to local needs.
- **Integrated Training/Exercise Courses** provide a refresher training to support an exercise and focus activity on the psychomotor and affective domain. The courses may be delivered in a generic, community specific or regional approach. They require additional time for preparation and recruitment.

State Training Strategies	Recipient Activities
Support the statewide implementation of the NIMS system for the management of all-hazards and emergency incidents.	NIMS concept introduction seminars Delivery of Basic, Intermediate and Advanced ICS courses Regional and community-specific Integrated ICS/Unified Command Training and Exercise Courses ICS / Unified Command Tabletop Exercises EOC Development Workshops Multi-Agency Coordination Training and workshops

State Training Strategies	Recipient Activities
Educate chief executives and elected officials about their roles and responsibilities for the support, development, maintenance and implementation of emergency preparedness and response programs.	Senior Official Seminars delivered at conferences and meetings. Multi-Agency Coordination Workshops Policy Development Workshops Tabletop Exercises
Facilitate the development, revision and interoperability of all-hazards emergency plans to include domestic preparedness issues.	Regional and community-specific planning workshops: hazard mitigation, mass casualty and fatality, damage assessment, continuity of government, continuity of operation and evacuation and re-entry. Regional damage assessment planning courses Community specific emergency planning workshops
Support the continued development of the emergency management profession in the State of Idaho.	Regional and community specific exercise design workshops Strategic planning training and workshops Basic Public Information Officer Course Offerings Basic Instructional Skills Course Offerings Communication Skills Training Leadership Training Training support of various conferences

The Bureau of Homeland Security's training program requires the active cooperative effort and support of local government, tribal nations and state government to realize the mutually beneficial rewards of our collective effort. Tribal nations, local and state governmental agencies need to commit to the following activities to be successful in our endeavors:

- Stronger recruitment efforts to get the right personnel and leaders to the appropriate training and workshops
- Stronger analysis of immediate training needs to support activities identified in our strategic plans
- Stronger commitment to apply training in a timely fashion to promote focused program development
- Stronger commitment to support the training program through the recruitment and use of adjunct instructors from multiple disciplines

### **RECOVERY DIVISION EMPHASIS, STRATEGIES AND PRIORITIES**

The Department of Homeland Security has undertaken a major initiative to redesign the Public Assistance Program to enable it to better deal with terrorist events and other catastrophic disasters in the years to come. This redesign effort is primarily centered on streamlining the program and facilitating a more expanded State management role.

The BHS Recovery Division will support this initiative by maintaining the State's capability to administer the program as well as maintaining an on-going capability to work with local governments and tribal nations. Critical to this task will be need for local governments and tribal nations to incorporate basic elements of the disaster recovery grant programs into their local disaster response and recovery plans and procedures in accordance with the National Incident Management System (NIMS). To help assist local governments and tribal nations in accomplishing this task, the BHS Recovery Division will focus its energies on developing guidance documents to aid in navigating the recovery path in the tribal, local, state and federal declaration arenas. This guidance may range from declaration procedures to grant/agency available resource identification as well as pre-disaster and post-disaster grant program preparation and training. Ultimately, the goal would be to formally integrate this recovery guidance into the State's training program.

Recovery strategies and possible activities are summarized in the following table:

<b>State Recovery Division Strategies</b>	<b>Recipient Activities</b>
Assist local governments and tribal nations to pre-identify possible disaster recovery grant recipients.	Pre-identify possible disaster recovery grant recipients with contact information.
Facilitate the development and revision of local recovery plans and procedures to incorporate disaster recovery program elements.	Incorporate program elements into existing local recovery plans and procedures.
Provide pre-disaster recovery program guidance to local governments and tribal nations.	Identify local training needs with respect to disaster recovery programs.

### ***INFORMATION TECHNOLOGY SERVICES EMPHASIS, STRATEGIES and PRIORITIES***

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#### Emphasis:

- In keeping with the Paperwork Reduction Act of 1995, BHS has made a strategic decision to automate all grants beginning sometime in 2005. This effort includes streamlining of grant processes in the spirit of Public Law 106-107.
- Replacement of outdated and expensive infrastructure to connect tribal and county emergency management organizations with BHS.
- Improvement of mechanisms for information sharing between State and local systems.

#### Strategies:

- Encourage local participation in the creation of the grant automation system, including requirements input and review, testing and training.
- Implement a grant management mechanism to allow local components to interact with BHS.
- Use the Internet where possible.
- Review grant systems for compliance with evolving federal regulations, such as the Office of Management and Budget Single Grantee Identifier initiative.
- Develop policies, standards and infrastructure for system-to-system exchange of data between State and local systems.

Information Technology Services strategies and sample State activities are summarized in the following table:

<b>Information Technology Services Strategies</b>	<b>State Sample Activities</b>
BHS will encourage County/Tribal participation in the creation of the grant automation system, including requirements input and review, testing and training.	County/Tribal emergency managers should work with other County/Tribal officials to develop a strategy for obtaining infrastructure to interact with BHS.
BHS will implement a grant management mechanism to allow State components to interact with BHS.	Invited recipients will participate in planning and implementation activities related to grant management activities with BHS.

Information Technology Services Strategies	State Sample Activities
BHS will develop policies, standards and infrastructure for system-to-system exchange of data between state and county/tribal systems.	Agencies anticipating implementation of system-to-system emergency data exchange participate in the standards-setting process, which may include incidental travel.

### ***THE EMERGENCY ALERT SYSTEM (EAS) PROGRAM***

The Emergency Alert System (EAS) is linked statewide through the state microwave system. The microwave consists of six transmitters with new radio equipment. There are five statewide dispatch systems with standardized EAS equipment and software. The future focus is continuity of training level at the dispatch centers and continued education for the recipients. Three additional areas in Idaho are identified as needing transmitters to receive EAS alerts due to the mountainous terrain in Idaho.

In 2004, the State EAS Plan and EAS Area Plans incorporated a statewide Amber Alert Plan. A statewide Amber Alert Plan is in draft form and committees are being identified to oversee the implementation of the plan. The future focus is developing a statewide educational plan for the public. A committee is needed to identify the methods and tools for educating the public. Idaho has established a strong Emergency Alert System and will continue to improve the system.

## **IV – 2005 EMPG APPLICATION GUIDANCE**

FY 2005 is the fifth year for the State of Idaho's Emergency Management Performance Grant (EMPG). This document provides information on how to complete the application, how and when each subgrant is awarded, how and when to submit quarterly reports and how to close out for federal fiscal year 2005 which begins October 1, 2004.

This Guidance Booklet also becomes an excellent reference tool for tribal emergency management directors, county coordinators, clerks and commissioners to access information pertinent to grant management.

Recipients have the flexibility to develop emergency management systems that encourage the building of partnerships that include government, business, volunteer and community organizations. At the same time, it is essential that recipients be mindful of the need to coordinate with and establish strong working relationships with neighboring jurisdictions and other levels of government and include activities in their individual programs that support the development of capabilities for joint operations and effective mutual support regionally.

### ***ALLOCATIONS***

FY 2005 EMPG funding allocations for the recipients are listed in the tables in Appendix C and D. These allocation amounts were derived by the formulas found in these appendices. With funds provided through the EMPG, recipients have the opportunity to structure their individual programs based on their identified needs and priorities for strengthening their emergency management capabilities.

## APPLICATION

### Pre-Award Activities:

Step 1 – Invitation to Apply

Step 2 – Application Package:

**BHS Form 424 - Application  
for Assistance**

**BHS Form 20-20 - Budget  
Information and Budget  
Narrative.**

**FEMA Form 20-16 -  
Assurances and  
Certifications**

**County Program Overview  
EMPG Program Goals/  
Performance Measures**

### Post-Award Activities:

Step 3 – Obligation Package

Step 4 – Quarterly Payments

Step 5 – Quarterly Reports

Step 6 – Year-end Funds

## EMERGENCY MANAGEMENT FUNCTIONS (EMF's)

BHS strongly encourages Recipients to use the 13 Emergency Management Functions (EMFs) as a basis for developing work plans and performance evaluations and can include specific targeting of the EMPG to those areas identified as needing improvement. The 13 EMFs are located in Appendix A.

## APPLICATION PACKAGE

The following describes the process for submission of an application for the Emergency Management Performance Grant (EMPG).

### **Pre-Award Activities:**

- Step One – Invitation Package: Major General John F. Kane, Adjutant General and Chief, Bureau of Homeland Security sends a Request for Application (RFA) in letterform with this guidance and an application package to the chairman of the county commissioners and tribal nations. Copies are sent to the county coordinators, tribal emergency management directors and county clerks.
- Step Two – Application Package: The recipient completes the 2005 EMPG Automated Forms (provided to the county coordinator and tribal EM director on CD). The instructions are provided with the automated forms and the "Quick Form" is linked to automatically complete most of the information in the other required forms. The required forms are as follows:
  1. BHS Form 424 – Application for Assistance. This standard form will contain the signatures of the recipient appointed officials responsible for emergency management. In most cases, that is the county or tribal chairman.
  2. BHS Form 20-20 – Budget Information and Budget Narrative. The standard form breaks the recipient emergency management budget into line item categories such as personnel, travel, supplies, etc. The budget narrative describes the intended use for the cost categories. See Appendix J for a sample budget narrative.
  3. FEMA Form 20-16 – Assurances and Certifications. All federal assistance requires that the recipient certify that they comply with public laws attached to all federal Funds.
  4. Recipient Program Overview. This overview should highlight the recipient's current situation and should be no more than a one page general description of the current capability and expected accomplishments of the emergency management program for fiscal year 2005.
  5. EMPG Program Goals/Performance Measures and Progress Report. The top section (green) is used for the grant application. The second section (blue) is used for the progress report. Once the recipient selects the issue it wants to address, it can determine the issue-related goal, the activities it will use to achieve the goal and how it will measure progress in achieving the outcome.

**IMPORTANT NOTE:** *The application is due to the BHS AFO no later than September 15, 2004 in order to process the award. Applications that are received after October 1, 2004 will delay the start of the grant period and may affect the recipient budget. Recipients are*

2005 County Emergency Management Performance Grant



*encouraged to anticipate any delays in applying for this grant. A delay in the application will result in a delay of the date of award for the recipient. No funds are authorized to be expended between October 1 and the date of award. If a recipient determines that they will not be able to meet the application deadline they should send a letter requesting the amount of funding that will be needed to cover those expenses between October 1, 2004 and the adjusted grant start date.*

- **Step Three – Obligation Package:** Each recipient will receive the EMPG award letter and the BHS Form 76-10 indicating the total award for the year from the BHS. (This amount is approximate and based on last year's federal allocation. It is subject to change should FEMA change the final allocation.)
- Form (76-10) is an obligating document and is sent to the recipient for signature by the county or tribal chairman or authorized representative. Once this form is returned, a fully signed copy will be sent back to the recipient. The 76-10 constitutes notification of the official award and implies all the federal and state laws are included as terms and conditions of this agreement.
- **NOTE:** If someone other than the county or tribal chairman signs this form, an authorizing document should accompany it back to the BHS.

#### **Post-Award Activities:**

- **Step Four – Quarterly Reports:** The quarterly financial status report or (BHS Form 20-10) and performance reports are due 15 days following the close of the quarter. January 15, April 15, July 15, with the final and closeout report due by November 15.
- **Step Five – Quarterly Reimbursements:** Each quarter, a reimbursement check will be sent to the recipient, reflecting the amount spent as reported on the financial status report (BHS Form 20-10).
- **Step Six – Year-End Funds:** At the end of the year, all monies not spent will be redistributed to those recipients that show a deficit on their last financial status report (BHS Form 20-10).

#### **OTHER GRANT GUIDANCE**

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#### **Authorization Laws**

Departments of Veterans Affairs, Housing and Urban Development and Independent Agencies Appropriations Act, 2000, Public Law 106-74; 38 U.S.C. 301; Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended, Title II, Section 201(d), Title VI, Sections 611 and 613, 42 U.S.C. 5196 and 5196(b); Public Law 93-288, as amended; 42 U.S.C. 5121 et seq., 42 U.S.C. 5195 et seq.

#### **Laws and Rules Governing Grants**

- The award and administration of grant funds are subject to applicable laws, regulations and policies of the recipient EMPG as stated in the approved application and other federal rules and regulations, which are, but not limited to:
- Administrative Rules—44 CFR Part 13, FEMA Regulations
- Cost Principles—OMB Circular A-87, Cost Principles for State, local and Indian Tribal Governments
- Audit Regulations—OMB Circular A-133

## Match Requirements

The Office of Domestic Preparedness is requiring a 50/50% match for the EMPG this year. The recipient is expected to provide that match using non-federal dollars.

## BHS Review and Award

The following is a synopsis of the EMPG application review and award process:

1. The AFO reviews the recipient's application per EMPG program and grant administration guidance. The BHS is required by law to ensure that the recipient complies with State and Federal laws regarding this assistance.
2. If the application is acceptable, the grant is awarded through a form 76-10 (Obligation Document for Award/Amendment) that is sent to the recipient for signature.
3. If the application is not acceptable, the grant will not be awarded. Discussions with the recipient are necessary to resolve any concerns. An application is unacceptable if:
  - Additional explanation is necessary for significant program or administrative requirements;
  - Required and/or necessary documentation is missing from the application; and/or
  - The application is deficient in some significant program or administrative requirement.

In these cases, the AFO will contact the Recipient to work out a possible solution to the performance goal requirements and then the application will be awarded.
4. The Area Field Officer shall make a record for the official file of any discussions that occur with the recipient. For discussions that result in sufficient changes to the application, the record shall include the changes made and/or follow-up action necessary to complete the review of the application.
5. Recipient office staff may correct minor administrative deficiencies by "pen and ink corrections" that are initialed and dated by the staff person.
6. Once the BHS and the recipient otherwise resolve pending issues and submit revised or additional information, the BHS will award the grant.

## **POST AWARD CHANGES**

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Revisions to the approved scope of work and budget will be processed in the following ways: The EMPG includes both "performance measures" and "action items." The recipient may modify action items without obtaining prior BHS approval unless such modification materially changes the approved performance measures or scope of work. All such revisions should be reported in the next quarterly performance report.

## **PERFORMANCE PERIOD**

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The performance period of the EMPG is October 1 to September 30. Although the actual *award date* may be a date other than October 1, the *effective date* of the grant is October 1.

Recipients are expected to report on activities undertaken through the EMPG process during the first quarter of the performance period, even if Recipient funding is not fully obligated on October 1.

If a Recipient fails to submit an application in a timely manner, the grant period will be adjusted to reflect the date the application was received. ***No money spent before the grant starting date will be reimbursed unless a letter is received stating the reason for the delay and the amount anticipated to be spent in the period between October 1 and the adjusted grant starting date.*** It is important to submit this letter as soon as possible after determining there will be a delay in submitting the final application.

### **GRANT FILE DOCUMENTATION**

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Each recipient should keep an official grant file up to date for audit purposes. The documents that should be in this file are as follows:

- A copy of the invitational letter signed by General Kane.
- A copy of the recipient's signed application.
- A copy of the recipient's approved budget.
- A copy of the BHS 76-10 and award letter.
- Copies of all quarterly reports, signed.
- Copies of all changes to grant goals along with prior permissions from BHS, if needed.
- Any correspondence from the recipient or from the BHS regarding the grant.
- Copies of all site visits made by Area Field Officer.
- Copies of all closeout documents.
- Copies of OMB 133 audit of recipient for grant fiscal year.

By retaining copies of each of these documents, recipients will be prepared to answer any questions an auditor may request.

### **RETENTION OF RECORDS**

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In accordance with the requirements set forth in 44 CFR Parts 13, all financial records, supporting documents, statistical records and all other records pertinent to award shall be retained by each organization for AT LEAST THREE YEARS following the closure of their most recent audit report. Retention is required for purposes of federal examination and audit. **Records may be retained in an automated format. State or local governments may impose record retention and maintenance requirements in addition to those prescribed.**

1. Coverage. The retention requirement extends to books of original entry, source documents supporting accounting transactions, the general ledger, subsidiary ledgers, personnel and payroll records, cancelled checks and related documents and records. Source documents include copies of all awards, applications and required recipient financial and narrative reports. Personnel and payroll records shall include the time and attendance reports for all individuals reimbursed under the award, whether they are employed full-time or part-time. Time and effort reports are also required for consultants.
2. Retention Period. The three-year retention period starts from the date of the submission of the closure of the single audit report that covers the grant period. If any litigation, claim, negotiation, audit, or other action involving the records has been started before the expiration of the three-year period, the records must be retained until completion of the action and resolution of all issues which arise from it or until the end of the regular three-year period, whichever is later.

## ***MAINTENANCE OF RECORDS***

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Recipients of funds are expected to see that records of different federal fiscal periods are separately identified and maintained so that information desired may be readily located. Recipients are also obligated to protect records adequately against fire or other damage. When records are stored away from the recipient's principal office, a written index of the location of records stored should be on hand and ready access should be assured.

## ***ACCESS TO RECORDS***

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The awarding agency includes the funding agency, the Federal agency, or any of their authorized representatives, who shall have the right of access to any pertinent books, documents, papers, or other records of recipients which are pertinent to the award, in order to make audits, examinations, excerpts and transcripts. The right of access must not be limited to the required retention period but shall last as long as the records are retained.

## ***AUDIT REPORTING REQUIREMENTS***

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Independent auditors should follow the requirements prescribed in OMB Circular A-133.

If the auditor becomes aware of illegal acts or other irregularities, prompt notice shall be given to recipient management officials above the level of involvement. The Recipient, in turn, shall promptly notify the cognizant federal agency of the illegal acts or irregularities and of proposed and actual actions, if any.

Audit costs for audits not required or performed in accordance with OMB Circular A-133 are unallowable. If the grantee did not expend \$500,000 or more in federal funds in its fiscal year, but contracted with a certified public accountant to perform an audit, these costs may not be charged to the grant.

## ***FAILURE TO COMPLY***

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Failure to have audits performed as required may result in the withholding of new discretionary awards and/or withholding of funds or change in the method of payment on active grants.

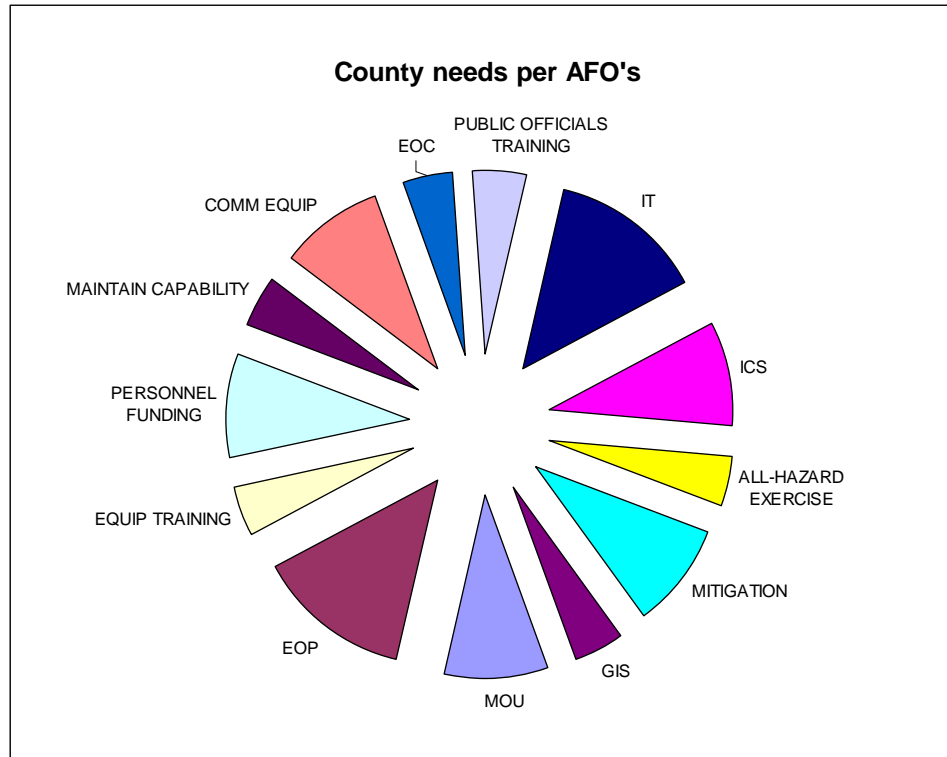
## ***AUDIT THRESHOLD***

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1. Non-federal entities that expend \$500,000 or more in federal funds (from all sources including pass-through sub awards) in the organization fiscal year (12-month turnaround reporting period) shall have a single organization-wide audit conducted in accordance with the provisions of OMB Circular A-133.
2. Non-federal entities that expend less than \$500,000 a year in federal awards are exempt from Federal audit requirements for that year. Records must be available for review or audit by appropriate officials including the federal agency, pass-through entity and General Accounting Office (GAO).

## V – SUGGESTIONS FROM AREA FIELD OFFICERS

The Area Field Officers throughout the State have identified needs within their areas and these are captured in the chart and table below.



AFO PROGRAMMATIC NEEDS ASSESSMENT CEMPG GUIDANCE			
Need	Benefit/Outcome	Solution Area	Program
Assess & upgrade <b>MOU's</b>	Identify gaps, overlaps, completeness of documentation, areas needing improvement and enhance ability to pool resources on a regional basis for more efficient and larger scale response activities	Planning, organization, exercises, training	EMPG, State Homeland Security Grant Program (SHSGP)
Exercise <b>EOP</b> maintenance program to include annual review and, where necessary, testing through exercise.	Exercises will test EOP and identify areas where changes need to be made, capture organizational and operational changes, and tailor to current threat environment and regional scope emphasis.	<b>Planning</b> -Provide planning and support assistance to assist county emergency managers in conducting annual plan review and development projects. <b>Organization</b> -Provide additional assistance to under-funded local jurisdictions in order to allow them to apply specific attention to the planning effort. <b>Training</b> -Provide locally delivered, jurisdiction-specific planning "workshops" in order to leave counties with a product, rather than simply planning knowledge. <b>Exercises</b>	EMPG, SHSGP
Conduct new <b>equipment training</b>	Training on new equipment will enhance responder capability	Training	SHSGP
<b>Full Time Paid County Coordinators</b> Funding assistance to expand weaker programs. Personnel shortages are the most readily identified weakness in the majority of the more rural jurisdictions. Developing a programmatic method of expanding personnel support to such jurisdictions would be helpful.	It is a capacity issue - increasing the number of hours paid would enable coordinators to participate in additional programs, training sessions and workshops, increasing knowledge, capacity and the ability to effectively respond and manage incidents. By providing a source of funding for additional hours, and/or temporary or part-time personnel support, local jurisdictions would be better equipped to meet the ever increasing workload.	Organization-Funding support to increase emergency manager hours per week, or where identified as necessary, allow for the hire of temp or part-time personnel support for specific planning or other program projects.	EMPG, SHSGP

AFO PROGRAMMATIC NEEDS ASSESSMENT CEMPG GUIDANCE			
Need	Benefit/Outcome	Solution Area	Program
Ability and funding to <b>maintain current status and capability</b>	With the high level of turnover in our generally all-volunteer first response organizations (EMS, Fire Services, Search and Rescue) training, coordinating and planning require a high degree of accountability and stable resources. In many instances that stability falls to a single paid individual. Funding, training and exercise coordination to assist that individual would enhance capability.	Training, Exercise	EMPG, SHSGP
Identify dead spots and increased radio coverage in North Central Idaho. Enhance Emergency Services <b>Communication Capabilities</b>	It is recognized that there are significant areas throughout North Central Idaho that are considered dead spots, areas lacking any type of telephone or radio communications. Identifying these areas, developing a plan to eliminate the areas and purchasing and installing equipment would enable responders to be more effective. Fill in coverage gaps, build system redundancy and make communication systems more regional in nature.	Planning, Training, Exercise, Equipment	EMPG, SHSGP
<b>EOC</b> upgrades	Improve facilities with enhanced communication and functionality capabilities and also provide emergency power.	Planning, Equipment, Exercises, Organization, Training	EMPG, SHSGP
Improve <b>public official participation</b> capabilities	Make public officials more aware of procedural responsibilities during emergencies	Training, Exercises, Organization	EMPG, SHSGP
Improve <b>IT interoperability</b> with non-county government agencies.	Improve capability for real-time information flow via electronic means with an integrated IT system design. Providing hardware, software and where appropriate, support assistance to bring all emergency program managers up to a basic minimum standard of IT capability, and integrating computer-based management tools and services would assist the state in general, in achieving improved program management and development capability. By having adequate IT capabilities counties will be able to take full advantage of funding and grant opportunities to improve the readiness and capabilities of their jurisdiction.	<b>Planning</b> -Statewide planning support to develop programs and on-line tools to support local jurisdictions and their EM program. <b>Training</b> -Provide training on use of software, on-line tools, other IT oriented assistance to improve local program efficiency. <b>Equipment</b> -Provide state of the art computer equipment to each jurisdiction where necessary to achieve a minimum standard of capability throughout the State. Provide software and/or on-line tools to improve efficiency of grants management and project management at the local level. <b>Exercises and Organization</b>	EMPG, SHSGP
Implementation of the new <b>ICS</b> standard as prescribed by ODP adoption of NIMS.	Counties are better prepared to manage emergencies (including WMD/terrorism events) as a result of systematic use of incident command structures and principles that are consistent with State and federal operational guidelines. By implementing NIMS into their incident management, prevention, preparedness, response, and recovery programs, the local jurisdictions will be able to coordinate better with state and federal agencies who will be using NIMS. This is also a requirement to receive Federal preparedness assistance beginning in FY 2005.	<b>Planning</b> - Incorporate NIMS concepts into local emergency operations plans and procedures. <b>Training</b> - Provide NIMS-based incident management training to local agencies, including volunteer and non-governmental support groups. <b>Organization and Exercise</b>	EMPG, SHSGP
Plan and conduct exercises that support SHSGP. Development of a locally specific, <b>all-hazard exercise program</b> to incorporate the cyclical process of plan development, plan testing through exercise, and plan improvement. Development of a local system for capturing and turning lessons learned into tangible plan or program improvement activities.	Exercises will evaluate capability and identify corrective action. Development of a truly integrated, all-hazard exercise program would focus the planning effort, and resultant exercise effort on those areas most critical to the local jurisdiction. Additionally, the local emergency operations plans would be systematically tested and improved.	<b>Planning</b> -Assist jurisdictions in testing specific EOP areas in effort to improve the effectiveness of the EOP. <b>Training</b> -Provide jurisdiction-specific Planning & Exercise Development workshops rather than regional "all-come" training. With this concept, jurisdictions would come out of the workshops with "products" that would lay the groundwork for program and/or plan development. <b>Exercise</b> -Provide assistance to counties in exercise program development to help them focus local exercises where they are most needed.	EMPG, SHSGP



AFO PROGRAMMATIC NEEDS ASSESSMENT CEMPG GUIDANCE			
Need	Benefit/Outcome	Solution Area	Program
Based on federal requirements, <b>all-hazard mitigation planning</b> must be moved to the forefront of emergency management efforts. Work is underway in some jurisdictions to accomplish this task; however, most jurisdictions are far from being ready to meet the November 2004 deadline. Program emphasis and support should be provided to assist them in accomplishing this mandated task. Counties need to develop and adopt an All Hazard Mitigation Plan that is approved by FEMA. Counties will need support, technical guidance, examples, and funding to go through the process of developing the plans, getting them approved and implementing them.	Counties possessing a comprehensive, all-hazard mitigation plan will have a "road map" laid out to eliminate and/or reduce hazards or their effects on the community. In addition to maintaining eligibility for federal programs, the jurisdiction will be better prepared to take advantage of mitigation funding opportunities. But more importantly, the jurisdiction will have an agreed upon set of action steps to improve public safety and hopefully, lessen the cost of future disasters. · The mitigation plan will help guide and direct the county to make decisions and take action based on proper planning. This will reduce the effects of future disasters. · The county will be eligible for post disaster funding for response and recovery. The county will be eligible for mitigation and other funding that will help reduce the hazards and threats to the county.	<b>Planning</b> -Provide technical assistance and where possible, funding assistance to conduct mitigation planning activities. <b>Training</b> -Provide local, jurisdiction specific mitigation planning workshops to assist the county in building the basics of their local mitigation plan. <b>Organization</b> -Provide direct technical support, or where possible, provide funding support to allow hiring of clerical, planning and/or consultant support to assist in mitigation planning activities.	EMPG, PDM
Standardized <b>GIS Hazard Mapping</b> and Documentation. Counties need a GIS capability to map hazards and document historical incidents. This system must be industry standard and integrated /compatible with the state system.	This will benefit the counties by having an up-to-date shareable system of documenting their hazards and historical events. This information will aid them in mitigation, planning, response, and recovery efforts.	Planning, Equipment	EMPG, SHSGP

## VI – PERFORMANCE GOALS

### HOW TO WRITE PERFORMANCE GOALS

Performance goals are easy to write. They concentrate on the improvement perceived rather than the activities. Activities are part of the performance, but how the recipient improves because of those activities is the focus of the goal. We know that every program does improve over time, but it is up to the recipient to tell us what that improvement is. The Government Performance and Results Act of 1993 (GPRA) is the law that has governed this change to performance. GPRA is the backbone for the use of all federal assistance.

As we learn more about writing performance goals, we find that some communicate more clearly the goal and the measurement than others. Performance goals must be measurable. The most effective way to do this is to take the action plan that supports the goal and determine how you will know when that is completed. The action plan is the list of tasks, or steps you will take to complete the whole goal. The goal is the end result that you want, with the action plan to support it.

### PERFORMANCE GOAL (PROJECT) DEFINITION

- Must have measurable outcome
- Must have a baseline
- Must be reportable in comparison to the baseline
- Must have stated conditions (narrative)

Performance goals are not widget counting (output), instead it is outcome capturing. A performance goal will contain sub-goals, milestones, major activities, steps, procedures and tasks that constitute the action plan.

## ***BUDGETING GOALS***

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The action plan is where the budget comes into the goal. When writing a goal, consider costs needed to achieve the results. For example: travel, contracts, rental and printing. Contracts may include fees to another person or agency to perform the work, for printing, etc. See the Sample Budget Narrative (Appendix I).

## **VII – REPORTING**

Financial and performance reports must be submitted as required by OMB Circular No. A-102, 44 CFR 13.40 and 44 CFR 13.41. Counties are expected to submit timely and complete financial and performance reports. Delinquent reporting may result in closer oversight by BHS staff or other appropriate action, e.g., payment by reimbursement rather than advance funding. Requests for extensions of report due dates will be considered but will not be granted automatically. Such requests must be supported by adequate justification.

### ***FINANCIAL STATUS REPORTS (BHS FORM 20-10)***

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To report expenditures, counties must submit quarterly financial status reports. Financial status reports for Quarters 1, 2 and 3 are due no later than the last day of the quarter: December 31, March 31 and June 30. The fourth and final report is due November 15, 2004. The fourth quarter financial status report is considered the annual or final report. The fourth quarter/annual report should include all final expenditures made during the Performance period. Costs incurred after the performance period has expired may not be charged to the grant.

If the counties show that they have not spent all of their allocation, they will be required to send that amount back to the BHS with the fourth quarter report. That money will be redistributed to those counties who show they could qualify for more funds from the BHS in the event more become available.

All financial forms, both for the application and reporting are available on computer disk in Microsoft Excel Format for easier completion. Please see the Area Field Officer to obtain a copy and help in completing these forms.

### ***PERFORMANCE REPORTS***

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Counties are required to submit performance reports for Quarters 1, 2 and 3 no later than the last day of the quarter: December 31, March 31 and June 30. The fourth and final report is due November 15, 2004. The fourth quarter report is considered an annual or final report. No new activity should be undertaken during the 45-day closeout period.

Submitted and approved performance measures serve as the basis for quarterly performance reports. For each performance measure, please provide:

- Identification of the measure (using EMF name and numerical or other identifier).
- Activities (Action Plan Items) completed during the reporting period and their effect (positive or negative) on the reported progress.
- Activities (Action Plan Items) planned for the next reporting period.
- Changes in Action Items, if any.
- Status in achieving the goals or objectives, when appropriate. If the performance measure is one based on numbers, dollars and/or percentages, show the completed performance against the baseline. If the performance measure is based on

something other than a numerical outcome (for instance, completion of an inventory), provide an indication of the timing and basis for determining that the measure has been met.

Problems, delays or adverse conditions that materially affected the ability to attain program objectives or prevented the meeting of time schedules should be detailed, as well as a description of the action taken. Conversely, favorable developments or events that enabled time schedules to be met sooner than anticipated should be noted.

## APPENDIX A – TABLE OF EMERGENCY MANAGEMENT Functions (EMFs)

No.	Title	Brief Description
1	Laws and Authorities	The legal authorities for the development, implementation and maintenance of an emergency management program.
2	Hazard Identification and Risk Assessment	The identification of the hazards with the greatest potential to affect lives and property and an assessment of the likelihood, vulnerability and magnitude of incidents that could result from exposure to hazards.
3	Hazard Management	A systematic management approach to eliminate hazards or to reduce the effects of hazards through mitigation.
4	Resource Management	The availability of critical human and physical resources required in disaster response.
5	Planning	The collection, analysis and use of information and the development, promulgation and maintenance of a comprehensive emergency management plan, action plan, mitigation plan and administrative plan.
6	Direction, Control and Coordination	The capability to monitor for emergencies and disasters; quickly and accurately assess their magnitude; and direct, control and coordinate response and recovery.
7	Communications and Warning	The ability to alert and warn response organizations and the general public of pending and spontaneous disaster events.
8	Operations and Procedures	The implementation of policies, plans and procedures in exercises and disaster events.
9	Logistics and Facilities	Essential facilities and services that support response and recovery operations.
10	Mitigation	The EMPG can be used as a tool to support local mitigation program development, which may include committee formation, mitigation planning and projects that implement existing mitigation, plans.
11	Preparedness, Training and Exercises	Training–Assessments, development and implementation of a training/education program for public officials, emergency response personnel and mitigation personnel. Exercises–The evaluation of plans and capabilities based on a program of tests and exercises.
12	Public Education and Information	The provision of public education and information to protect lives and minimize property loss.
13	Finance and Administration	Financial and administrative procedures in place before, during and after disaster events.

## APPENDIX B – EMPG CALENDAR

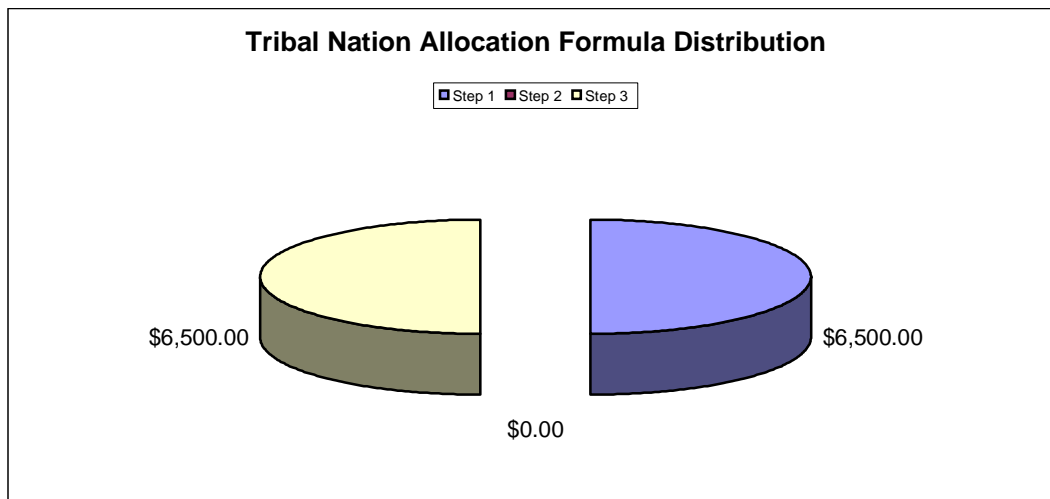
EMPG Calendar FY 2005		
<b><u>July 2004</u></b> <b>1<sup>st</sup></b> - BHS issues the invitational package to the recipients.	<b><u>August 2004</u></b>	<b><u>September 2004</u></b> <b>15<sup>th</sup></b> - Recipients submit applications to BHS
<b><u>October 2004</u></b> <b>1<sup>st</sup></b> - FY 2005 performance period begins Award package issued to qualifying recipients.	<b><u>November 2004</u></b> <b>15<sup>th</sup></b> - Recipients submit final 2004 financial and performance reports to BHS Unused FY2004 funds reallocated to qualified recipients.	<b><u>December 2004</u></b> <b>31<sup>st</sup></b> - End of 1 <sup>st</sup> Quarter
<b><u>January 2005</u></b> <b>15<sup>th</sup></b> - 1 <sup>st</sup> quarter financial and performance reports due in to BHS 1 <sup>st</sup> quarter check sent to recipients.	<b><u>February 2005</u></b>	<b><u>March 2005</u></b> <b>31<sup>st</sup></b> - End of 2nd Quarter
<b><u>April 2005</u></b> <b>15<sup>th</sup></b> - 2 <sup>nd</sup> quarter financial and performance reports due in to BHS 2 <sup>nd</sup> quarter check sent to Recipients.	<b><u>May 2005</u></b>	<b><u>June 2005</u></b> <b>30<sup>th</sup></b> - End of 3rd Quarter
<b><u>July 2005</u></b> <b>15<sup>th</sup></b> - 3 <sup>rd</sup> quarter financial and performance reports due in to BHS 3 <sup>rd</sup> quarter check sent to Recipients	<b><u>August 2005</u></b>	<b><u>September 2005</u></b> <b>30<sup>th</sup></b> - End of 4th Quarter
<b><u>October 2005</u></b> <b>1<sup>st</sup></b> - New Fiscal year begins	<b><u>November 2005</u></b> <b>15<sup>th</sup></b> - Final financial and program reports are due in to BHS. 4th quarter check sent to recipients. End of year funds redistributed.	<b><u>December 2005</u></b>

## APPENDIX C – 2005 ALLOCATIONS TO TRIBAL NATIONS

2005 Tribal Nations Allocation								
	2002	%	2002	% of	Formula Applied			2004
					\$6,500.00	\$0.00	\$6,500.00	\$13,000.00
Tribal Nation	Population	of Pop	Paid Out	2002	Base	Participation	Population	Allocation
Coeur d'Alene	6,551	21.60%	\$0.00	0%	\$1,625.00	\$0.00	\$1,404.08	\$3,029.08
Kootenai	75	0.25%	\$0.00	0%	\$1,625.00	\$0.00	\$16.07	\$1,641.07
Nez Perce	17,959	59.22%	\$0.00	0%	\$1,625.00	\$0.00	\$3,849.16	\$5,474.16
Shoshone- Bannock	5,742	18.93%	\$0.00	0%	\$1,625.00	\$0.00	\$1,230.69	\$2,855.69
TOTAL	30,327	100%	\$0.00	0%	\$6,500.00	\$0.00	\$6,500.00	\$13,000.00

2005 TRIBAL NATION ALLOCATION FORMULA		
	13,000.00	Total to Tribal Nations
	4	Number of participating tribal nations
	-	Total Previous year Tribal Nation Allocation
	30,327	Total population from 2000 Census
Step 1	\$6,500.00	Divide 50% equally
Step 2	\$0.00	Divide 0% by % of Participation
Step 3	\$6,500.00	Divide 50% by % of Population
	\$13,000.00	
	1,625	Base = 15% of Total Tribal Nation Allocation (B)/ Number of participating(C)

13,000.00 Audit Total Shown after application of Formula,  
 - Should be 0

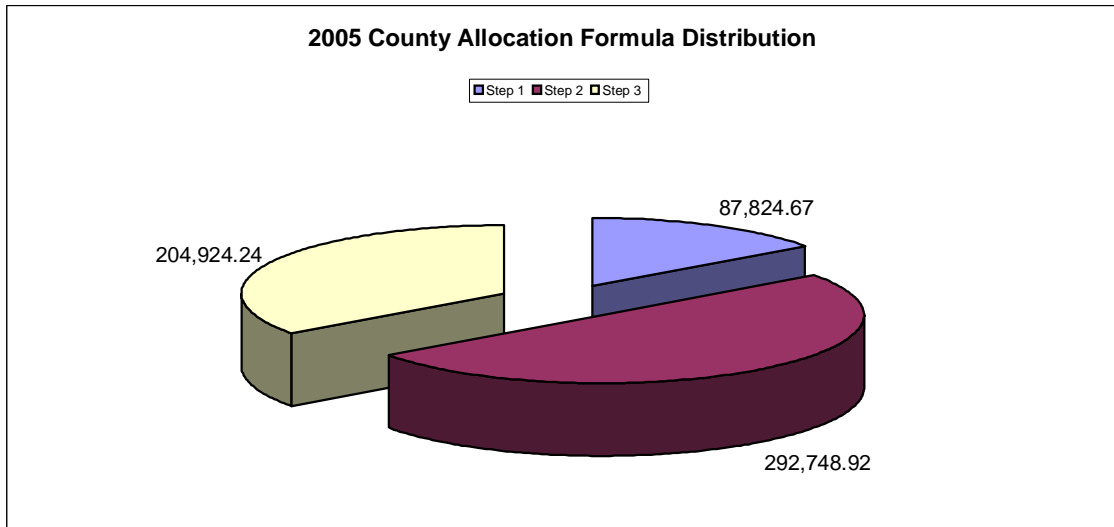




## APPENDIX D – 2005 ALLOCATIONS TO COUNTIES

2005 COUNTY ALLOCATION		
	<b>2005</b>	
	1,775,152.00	Total 2003 Projected Allocation to the State of Idaho for EMPG
	<b>53,099.55</b>	Less SARA Title III-Specific Use funds- Brought back to full funding after increase from FEMA
	<b>1,722,052.45</b>	Planned total to BDS
	585,497.83	34% of Total to BDS to Subgrant to Counties
	44	Number of participating counties
	585,497.83	Total Previous year County Allocation 2004
	1,341,131.00	Total population from 2002 Census
Step 1	87,824.67	Divide 15% equally
Step 2	292,748.92	Divide 50% by % of Participation
Step 3	204,924.24	Divide 35% by % of Population
	585,497.83	
	1,996.02	Base = 15% of Total County Allocation (B)/ Number of participating counties(C)

585,497.83 Audit Total Shown after application of Formula,  
0.00 Should be 0



2005 Projected County Allocation								
	2002	%	2003	% of	Formula Applied			2005
					87,824.67	292,748.92	204,924.24	585,497.83
County	Population	of Pop	Paid Out	2002	Base	Participation	Population	Allocation
Ada	319,687	24%	164,051.06	23.848%	1,996.02	69,814.70	48,848.04	120,658.75
Adams	3,448	0%	7,169.28	1.042%	1,996.02	3,051.01	526.85	5,573.88
Bannock	75,804	6%	31,615.63	4.596%	1,996.02	13,454.56	11,582.82	27,033.40
Bear Lake	6,360	0%	6,949.88	1.010%	1,996.02	2,957.64	971.81	5,925.46
Benewah	8,993	1%	5,240.98	0.762%	1,996.02	2,230.39	1,374.13	5,600.53
Bingham	42,458	3%	30,518.52	4.436%	1,996.02	12,987.67	6,487.56	21,471.25
Blaine	20,378	2%	6,534.29	0.950%	1,996.02	2,780.78	3,113.75	7,890.54
Boise	7,067	1%	10,463.51	1.521%	1,996.02	4,452.92	1,079.83	7,528.77
Bonner	38,205	3%	19,460.81	2.829%	1,996.02	8,281.88	5,837.71	16,115.60
Bonneville	85,180	6%	52,040.17	7.565%	1,996.02	22,146.57	13,015.47	37,158.06
Boundary	10,085	1%	4,429.27	0.644%	1,996.02	1,884.95	1,540.98	5,421.95
Butte	2,890	0%	3,122.13	0.454%	1,996.02	1,328.68	441.59	3,766.28
Camas*	1,037	0%	-	0.000%	1,996.02	-	158.45	2,154.47
Canyon	144,983	11%	14,574.31	2.119%	1,996.02	6,202.34	22,153.34	30,351.70
Caribou	7,319	1%	17,713.80	2.575%	1,996.02	7,538.41	1,118.34	10,652.76
Cassia	21,720	2%	5,640.78	0.820%	1,996.02	2,400.53	3,318.81	7,715.35
Clark	997	0%	8,255.03	1.200%	1,996.02	3,513.07	152.34	5,661.42
Clearwater	8,446	1%	10,419.68	1.515%	1,996.02	4,434.27	1,290.55	7,720.83
Custer	4,185	0%	7,549.09	1.097%	1,996.02	3,212.64	639.47	5,848.12
Elmore	29,481	2%	12,827.51	1.865%	1,996.02	5,458.96	4,504.68	11,959.66
Franklin	11,699	1%	9,290.86	1.351%	1,996.02	3,953.88	1,787.60	7,737.50
Fremont	11,859	1%	4,706.65	0.684%	1,996.02	2,002.99	1,812.05	5,811.06
Gem	15,495	1%	5,976.71	0.869%	1,996.02	2,543.49	2,367.63	6,907.13
Gooding	14,307	1%	4,520.05	0.657%	1,996.02	1,923.58	2,186.10	6,105.70
Idaho*	15,308	1%	-	0.000%	1,996.02	-	2,339.06	4,335.07
Jefferson	19,781	1%	8,595.22	1.249%	1,996.02	3,657.84	3,022.53	8,676.38
Jerome	18,703	1%	11,519.00	1.675%	1,996.02	4,902.10	2,857.81	9,755.93
Kootenai	113,954	8%	55,507.00	8.069%	1,996.02	23,621.94	17,412.12	43,030.08
Latah	35,218	3%	18,469.67	2.685%	1,996.02	7,860.08	5,381.30	15,237.39
Lemhi	7,649	1%	8,199.51	1.192%	1,996.02	3,489.44	1,168.76	6,654.22
Lewis	3,721	0%	4,000.00	0.581%	1,996.02	1,702.27	568.57	4,266.85
Lincoln	4,207	0%	3,767.50	0.548%	1,996.02	1,603.32	642.83	4,242.17
Madison	27,686	2%	19,041.95	2.768%	1,996.02	8,103.62	4,230.41	14,330.05
Minidoka	19,465	1%	3,687.50	0.536%	1,996.02	1,569.28	2,974.24	6,539.54
Nez Perce	37,106	3%	31,123.47	4.524%	1,996.02	13,245.12	5,669.78	20,910.91
Oneida	4,131	0%	4,277.49	0.622%	1,996.02	1,820.36	631.22	4,447.59
Owyhee*	10,862	1%	-	0.000%	1,996.02	-	1,659.71	3,655.72
Payette	21,007	2%	8,896.39	1.293%	1,996.02	3,786.01	3,209.86	8,991.88
Power	7,379	1%	8,210.50	1.194%	1,996.02	3,494.12	1,127.51	6,617.64
Shoshone	13,090	1%	15,097.82	2.195%	1,996.02	6,425.13	2,000.15	10,421.30
Teton	6,859	1%	10,203.48	1.483%	1,996.02	4,342.26	1,048.05	7,386.33
Twin Falls	65,472	5%	24,675.37	3.587%	1,996.02	10,501.02	10,004.09	22,501.13
Valley	7,526	1%	2,843.41	0.413%	1,996.02	1,210.06	1,149.97	4,356.05
Washington	9,924	1%	6,718.16	0.977%	1,996.02	2,859.03	1,516.38	6,371.42
TOTAL	1,341,131.00	1.00	687,903.44	1.00	87,824.67	292,748.92	204,924.24	585,497.83

## APPENDIX E – AGREEMENT ARTICLES

This is a sample of the Articles of Agreement that will be sent to each recipient with the fully signed award document 76-10. Each recipient should read them to understand the scope of the award.

### Bureau of Homeland Security EMPG Agreement Articles

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**GRANTEE:** \_\_\_\_\_

**AGREEMENT NUMBER:** \_\_\_\_\_ **AMENDMENT NUMBER:** \_\_\_\_\_

**DESIGNATED AGENCY:** \_\_\_\_\_

**PERFORMANCE PERIOD:** (Normally the Federal Fiscal Year, October 1 to September 30)

#### **ARTICLE I – PROGRAM DESCRIPTION**

The recipient shall perform the work described in the program narrative statement, which is included as part of the application package and made a part of these grant agreement articles.

#### **ARTICLE II – PERIOD OF PERFORMANCE**

The period of performance shall be twelve (12) months from the effective date of the Grant: \_\_\_\_\_ (Dates) \_\_\_\_\_ (Normally the Federal Fiscal Year). The funds awarded by this BHS 76-10 are available for obligation by the recipient only during the period of performance. The recipient is not authorized to incur new obligations after the last day of the period of performance unless a new expiration date is established by BHS in a letter signed by the assistance officer or through the issuance of a new BHS 76-10.

The recipient shall be entitled to reimbursement for costs incurred, which, if incurred after this award had been made, would have been reimbursable under the provisions of this grant.

#### **ARTICLE III – AMOUNT AWARDED**

This grant is for the recipient's administration and completion of the awarded Emergency Management Performance Grant (EMPG). Grant funds shall not be used for other purposes.

The total amount awarded is \$\_\_\_\_\_ state share/ \$\_\_\_\_\_ recipient share. The cost share for the EMPG is \_\_\_% State Share / \_\_\_% Recipient Share.

In the event of a Continuing Resolution, or prolonged delay of the award of federal funds supporting this grant, the terms and conditions and/or the amount and performance period are subject to change. These events may also delay the quarterly payments planned by the BHS.

#### **ARTICLE IV – STATE SHARE DISBURSEMENT**

The recipient will be issued warrants quarterly upon receipt of the required performance and financial reports. The outlays reported by the applicant on the financial status report (BHS FORM 20-10) will indicate the amount to be reimbursed to the Recipient less any previous payments.

#### **ARTICLE V – FINANCIAL REPORTS**

The recipient shall submit financial reports (BHS Form 20-10, financial status report) to the BHS no later than 15 days after the end of each quarter of the performance period. Reports are due by \_\_\_\_ (Date)\_\_\_\_, \_\_\_\_ (Date)\_\_\_\_, \_\_\_\_ (Date)\_\_\_\_ and \_\_\_\_ (Date)\_\_\_\_. Final financial reports are due 45 days after the close of the grant. Financial status reports are to be submitted to the appropriate regional program officer listed below.

#### **ARTICLE VI – PERFORMANCE REPORTS**

The Recipient shall submit performance reports to the BHS no later than 15 days after the end of each quarter of the performance period to the appropriate regional program officer listed below. Reports are due by \_\_\_\_ (Date)\_\_\_\_, \_\_\_\_ (Date)\_\_\_\_, \_\_\_\_ (Date)\_\_\_\_ and \_\_\_\_ (Date)\_\_\_\_.

#### **ARTICLE VII – BHS OFFICIALS**

A. The BHS officials for the Emergency Management Performance Grant are as follows:

1. The Program Officer (PO) shall be an official at the BHS Area Field Office who will be responsible for the technical monitoring of the stages of work and technical performance of the activities described in the Program Narrative Statement. The BHS Program Officers are:

North Area Field Officer, Fred Heywood

North Central Area Field Officer, Deborah “Debi” L. Ruppe

Southwest Area Field Officer, Patrick G. Lucas

Central Area Field Officer, Gary W. Davis

Northeast Area Field Officer, Michael G. Clements

Southeast Area Field Officer, Kenneth E. Fagnant

2. The Assistance Officer (AO) is the BHS official who has full authority to negotiate, administer and execute all business matters of the grant. The BHS Assistant Officer is Assistant Deputy Director, A. LeiLani Jensen

#### **ARTICLE VIII – BUDGET**

- A. The recipient shall follow prior approval requirements found in the Emergency Management and Assistance Regulations, 44 CFR Part 13.30. For non-construction grants, transfers of funds between total direct cost categories in the approved budget (BHS Form 20-20) shall receive the prior approval of the BHS when such cumulative transfers among those direct cost categories exceed ten percent of the total budget.
- B. All contributions, cash and in-kind, may be accepted as part of the recipient's matching share. Except as allowed by federal statute, no other federal grant funds can be used as a match. The following documentation is required for matching cash contributions: record of source of donor, dates, rates, amounts and deposit slips. The following documentation is required for matching in-kind contributions: record of donor, dates, rates and amount. Requirements for in-kind contributions can be

found in 44 CFR Part 13.24. Documentation should be retained by the Recipient and available for review by the BHS.

- C. If a recipient has unobligated funds remaining after the end of the performance period, the recipient should report this to the BHS Area Field Officer at the earliest possible time and issue a warrant to be received by the BHS within 45 days after the end of the performance period.

## **ARTICLE IX – OTHER TERMS AND CONDITIONS**

The other terms and conditions of this agreement are as follows:

- A. Prior to the start of any construction activity, the recipient shall ensure that all applicable federal, state and local permits and clearances are obtained.
- B. Recipients are encouraged to integrate the National Environmental Policy Act (NEPA) compliance and related legislation as implemented under 44 CFR, Part 10, with the initial planning and decision-making process for this program. Recipients are encouraged to seek support from the BHS in complying with the NEPA requirements.
- C. The recipient shall transfer to the BHS the appropriate share, based on the federal support percentage, of any refund, rebate, credit or other income arising from the performance of this agreement, along with accrued interest, if any. The recipient shall take necessary action to effect prompt collection of all monies due or which may become due and to cooperate with BHS in any claim or suit in connection with amounts due.

## **ARTICLE X – AUDIT REQUIREMENTS**

All sub-recipients that follow OMB Circular No. A-110 must follow the audit requirements of OMB Circular No. A-133 Revised – Audits of States, Local Governments and Non-Profit Organizations. The State of Idaho requires that copies of all audits be submitted to the State Legislative Services Office.

### **LEGISLATIVE SERVICES OFFICE**

**Carl F. Bianchi, Director**

cbianchi@lso.state.id.us

State Capitol, Room 108

P.O. Box 83720

Boise, ID 83720-0054

(208) 334-2475

Fax: (208) 334-2125

## **ARTICLE XI – GENERAL PROVISIONS**

The following are hereby incorporated into this agreement by reference:

44 CFR	Emergency Management and Assistance Regulations
44 CFR, Part 10	Environmental Considerations
44 CFR, Part 13	Uniform administrative requirements for grants and cooperative agreements to state and local governments
44 CFR, Part 7	Nondiscrimination In Federally-Assisted Programs (FEMA)
44 CFR, Part 14	Administration of grants: Audits of State and local governments
44 CFR, Part 17	Government-wide debarment and suspension (non-procurement) and government wide requirements for drug-free workplace (grants)
44 CFR, Part 18	New restrictions on lobbying
44 CFR, Subchapter B	Insurance and Hazard Mitigation
44 CFR, Subchapter C	Fire Prevention and Control
44 CFR, Subchapter D	Disaster Assistance
44 CFR, Subchapter E	Preparedness
31 CFR 205.6	Funding techniques
P.L. 101-336	The Americans With Disabilities Act
OMB Circular A-87	Cost Principles for State and Local Governments
OMB Circular A-102	Grants and Cooperative Agreements with State and Local Governments
OMB A-21	Cost Principles for Educational Institutions
OMB Circular A-110	Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals and Other Non-Profit Organizations
OMB Circular A-122	Cost Principles for Nonprofit Organizations
OMB Circular A-133	Audits of States, Local Governments and Non-Profit Organizations
Federal Law	Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended by Public Law 106-390, October 30, 2000
State Law	Idaho Code
Application	Grant/Cooperative Agreement Application and Assurances contained therein received by BHS on (date).



## APPENDIX F – LEGAL DOCUMENTATION WEBSITES TO SUPPORT EMPG

### *ALL FEDERAL FUNDS WEBSITE*

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#### **CATALOG OF FEDERAL DOMESTIC ASSISTANCE**

<http://12.46.245.173/cfda.html>

### *STATE LAW WEBSITES*

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#### **Idaho Statutes and Constitution Internet Server Home Page**

<http://www3.state.id.us/idstat/>

#### **Idaho Code and Constitution Establishing the Military Division and Emergency Management**

<http://www3.state.id.us/idstat/TOC/46FTOC.html>

#### **Idaho Code Chapter 10 – State Disaster Preparedness Act --This is the State of Idaho Code that establishes the Bureau of Homeland Security**

<http://www3.state.id.us/idstat/TOC/46010KTOC.html>

### *FEDERAL STATUTES AND LAWS WEBSITES*

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#### **FEMA Legal Information Website Listings – Scroll down to Legal**

<http://www.fema.gov/library/femainfo.shtm>

#### **Stafford Act as Amended by Public Law 106-390, Oct. 30, 2000**

<http://www.fema.gov/library/stafact.shtm>

#### **PowerPoint Presentation on Disaster Mitigation Act of 2000**

<http://www.fema.gov/ppt/emanagers/dma2000.ppt>

#### **Code of Federal Regulations (CFR)**

[http://www.access.gpo.gov/nara/cfr/waisidx\\_99/44cfrv1\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/44cfrv1_99.html)

#### **Title 44 Management and Assistance FEMA**

[http://www.access.gpo.gov/nara/cfr/waisidx\\_99/44cfr13\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/44cfr13_99.html)

#### **Part 13 - Uniform Administrative Requirements For Grants And Cooperative Agreements To State And Local Governments**

[http://www.access.gpo.gov/nara/cfr/waisidx\\_99/44cfr14\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/44cfr14_99.html)

#### **Part 14 - Administration Of Grants: Audits Of State And Local Governments**

[http://www.access.gpo.gov/nara/cfr/waisidx\\_99/31cfrv1\\_99.html](http://www.access.gpo.gov/nara/cfr/waisidx_99/31cfrv1_99.html)

#### **Office of Management and Budget (OMB) Main Screen**

<http://www.fema.gov/ppt/emanagers/dma2000.ppt>

## APPENDIX G – RECIPIENT TAX ID NUMBERS AND SUFFIXES

RECIPIENT TAX ID NUMBERS AND SUFFIXES							
	Recipient	Tax/Vendor ID# & Suffix			Recipient	Tax/Vendor ID# & Suffix	
1	Ada	820330805	00	23	Gem	826000299	01
2	Adams	826000278	01	24	Gooding	826000300	01
3	Bannock	826000279	03	25	Idaho	826000301	04
4	Bear Lake	826000280	04	26	Jefferson	826000302	01
5	Benewah	826000281	03	27	Jerome	826000303	05
6	Bingham	826000282	08	28	Kootenai	826000304	08
7	Blaine	826000283	05	29	Latah	826000305	04
8	Boise	826000284	01	30	Lemhi	826000306	02
9	Bonner	826000285	04	31	Lewis	826000307	02
10	Bonneville	826000286	04	32	Lincoln	826000308	01
11	Boundary	826000287	07	33	Madison	826000309	05
12	Butte	826000288	02	34	Minidoka	826000310	03
13	Camas	826000289	02	35	Nez Perce	826000311	02
14	Canyon	826000290	07	36	Oneida	826000312	03
15	Caribou	820289862	01	37	Owyhee	826000313	02
16	Cassia	826000292	02	38	Payette	826000314	04
17	Clark	826000293	05	39	Power	826000315	02
18	Clearwater	826000294	05	40	Shoshone	826000316	02
19	Custer	826000295	04	41	Teton	826000317	02
20	Elmore	826000296	02	42	Twin Falls	826000318	02
21	Franklin	826000297	01	43	Valley	826000319	00
22	Fremont	826000298	04	44	Washington	826000320	01

## APPENDIX H – GLOSSARY OF GRANT TERMS

**Administrative requirements** are set forth at 44 CFR Part 13 for state and local units of government.

**Awarding agency** is the federal government or the next highest authority, i.e., the state agency administering the formula award or the federal agency administering the discretionary award.

**Awards** may include funding mechanisms, such as grants, cooperative agreements, interagency agreements, contracts and/or other agreements.

**Block/formula awards** are awarded to the states to provide assistance to state and local units of government for programs in accordance with legislative requirements.

**Breaks** are short pauses in an ongoing informational program at trainings, meetings, conferences, or retreats. Typically, an all-day event may include one break during a morning session and one break during an afternoon session.

**Break foods** consist of cookies, sodas and fruits or other snack items and may be served at a training program, a meeting, or a conference.

**Budget Period** is the period for which a budget is approved for an award. The budget period may be equal to or shorter than the project period for an award, but cannot be longer than the project period.

**Closeout** is a process in which the awarding agency determines that all applicable administrative actions and all required work of the award have been completed by the recipient and the awarding agency.

**Conference or meeting** is a formal event involving topical matters of general interest, (i.e., matters that will contribute to improved conduct, supervision, or management of the agency's functions or activities), to state/local and non- state/local agency participants, rather than a routine business meeting primarily involving day-to-day agency operations and concerns. "Meeting" includes other designations, such as a conference, congress, convention, seminar, symposium, training for grantees or contractors and workshop.

**Consultant** is an individual who provides professional advice or services.

**Contracts** are entered into by the awarding agency, recipients or subrecipients and commercial (profit-making) and non-profit organizations. With the exception of a few justified sole-source situations, contracts are awarded via competitive processes to procure a good or service.

**Cooperative agreements** are awarded to states, units of local government, or private organizations at the discretion of the awarding agency. Cooperative agreements are utilized when substantial involvement is anticipated between the awarding agency and the recipient during performance of the contemplated activity.

**Discretionary awards** are made to states, units of local government, or private organizations at the discretion of the awarding agency. Most discretionary awards are competitive in nature in that there are limited funds available and a large number of potential recipients.

**In-State travel** includes travel within and between counties with the State of Idaho.

**Equipment** is tangible non-expendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. A recipient/sub-recipient may use its own definition of equipment if such definition would at least include all equipment defined above.

**Federal grantee** means the component of a state, local or federally recognized Indian tribal government, educational institution, hospital or a for-profit or non-profit organization that is responsible for the performance or administration of all or some part of a federal award. See OMB Circular No. A-87, Attachment A; OMB Circular No. A-110, Attachment A.

**Food and/or beverages** retain their common meanings. Food or beverages are considered in the context of formal meals and in the context of refreshments served at short, intermittent breaks during an activity. Beverages do not include alcoholic drinks.

**Out of State travel** includes any travel outside of Idaho. For an organization located in another state, this means travel outside that state.

**Formal agenda** provides a list of all activities that shall occur during the event, using an hour-by-hour time line. It must specifically include the times during the event when food and beverages will be provided.

**Grants** are awarded to states, units of local government, or private organizations at the discretion of the awarding agency or on the basis of a formula. Grants are used to support a public purpose.

**High risk** is a determination made by the awarding agency of a recipient's ability to financially administer Federal project funds. Additional reporting requirements are imposed on high-risk recipients.

**Incidental** means relating to a formal event where full participation by participants mandates the provision of food and beverages.

**Interagency** agreements and purchase of service arrangements are usually entered into by two governmental units or agencies. Such funding arrangements are negotiated by the entities involved.

**Match** is the recipient share of the project costs. Match may be either "in-kind" or "cash." In-kind match includes the value of donated services. Cash match includes actual cash spent by the recipient and must have a cost relationship to the Federal award that is being matched. (Example: match on administrative costs should be other administrative costs, not other matching on program costs).

**Non-expendable personal property** includes tangible personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit. A recipient may use its own definition of non-expendable personal property provided that the definition would at least include all tangible personal property as defined below.

**Obligation** means a legal liability to pay under a grant, subgrant and/or contract determinable sums for services or goods incurred during the grant period.

**Pass-through** is an obligation on the part of the States to make funds available to units of local governments, combinations of local units, or other specified groups or organizations.

**Personal property** means property of any kind except real property. It may be tangible (having physical existence) or intangible (having no physical existence, such as patents, inventions and copyrights).

**Prior approval** means written approval by the authorized official (the next highest authority except for sole source) evidencing consent prior to a budgetary or programmatic change in the award.

**Program income** means gross income earned by the recipient during the funding period as a direct result of the award. Direct result is defined as a specific act or set of activities that are directly attributable to grant funds and which are directly related to the goals and objectives of the project.

**Performance Period** is the period for which implementation of a program is authorized. The performance period may be equal to or longer than the budget period for an award, but cannot be shorter than the budget period.

**Real property** means land, land improvements, structures and appurtenances thereto, excluding movable machinery and equipment.

**Reasonable** means those costs which a prudent person would have incurred under the circumstances prevailing at the time the decision to incur the cost was made. Costs to consider when making judgments about reasonableness include the cost of food and beverage, total cost of the event and costs incurred relative to costs in the geographical area.

**Reception** means an informal gathering that is not mandatory for all event participants to obtain necessary information. Indicators of a reception include a cash bar, inadequate seating for the entire group, food items from a reception menu (such as finger foods) and a longer break (than utilized throughout the day) between the substantive meetings and the reception. Receptions are expressly prohibited and are considered an unallowable cost with Federal funds.

**Refreshments and Meals for Official Meetings.** The State Board of Examiners recognizes the importance of sponsoring meetings and training sessions. Further, the Board understands that to facilitate the needs of the attendees and to ensure the best utilization of attendee time, refreshments and/or meals may be provided to those attending department-sponsored meetings and/or training sessions under the following criteria:

1. REFRESHMENTS:
  - a. The meeting or training session has a published agenda and attendance is mandatory.
  - b. The meeting or training session has an intended duration of three (3) hours or more;
  - c. There are five (5) or more attendees; and
  - d. The total per attendee cost of the refreshments, per refreshment break, will not exceed \$7.50, which is the allowable partial day per diem amount established for breakfasts, pursuant to Appendix B.
2. MEALS:
  - a. The meeting or training session has a published agenda and attendance is mandatory;
  - b. Location or scheduling conflicts do not lend themselves to a meal recess;
  - c. The meeting's business is furthered by speeches, presentations or interpersonal exchange that would not normally occur on a daily basis;

- d. The meeting or training session has an intended duration of six (6) hours or more;
- e. There are five (5) or more attendees; and
- f. The per attendee cost of the meal does not exceed the allowable partial day per diem reimbursement, pursuant to Appendix B.

Regularly scheduled staff meetings or department-sponsored social gatherings shall not qualify for meal or refreshment provisions unless such meetings occur no more than quarterly and attendees are brought together from various locations throughout the state. Further, an attendee shall not be eligible for meal reimbursement due to travel status if such meal is provided while attending a meeting or training session.

**Recipient** is an individual and/or organization that receives federal financial assistance directly from the Federal agency.

**Social event** is any event with alcohol beverages served, available, or present.

**Subrecipient** is an individual and/or organization that receives federal financial assistance from the direct recipient of federal funds. This may include entities receiving funds as a result of block or formula awards.

**Supplanting** is to deliberately reduce state or local funds because of the existence of Federal funds. For example, when state funds are appropriated for a stated purpose and federal funds are awarded for that same purpose, the state replaces its state funds with federal funds, thereby reducing the total amount available for the stated purpose.

**Unallowable costs** include:

- Entertainment;
- Sporting events;
- Visa fees;
- Passport charges;
- Tips;
- Bar charges/Alcoholic beverages;
- Laundry charges; and
- Lodging costs in excess of State per diem. For events of 30 or more participants that are funded with state funds.

**Working dinner** means a formal and mandatory dinner necessary for all participants to have full participation in the conference or event. A working dinner must include a formal agenda including a program or speakers that will impart necessary information important for full understanding of the subject matter of the conference. There should be several hours of informative sessions providing substantive information scheduled both before and after a working dinner. Indicators of a working dinner include seating for all participants. A cash bar is expressly prohibited.

**Working lunch** is a formal and mandatory lunch necessary for all participants to have full participation in the conference or event. A working lunch must include a formal agenda including a program or speakers that will impart necessary information important for full understanding of the subject matter of the conference. There should be at least 6 hours of informative sessions providing substantive information scheduled both before and after a working lunch (exhibits are not included). Indicators of a working lunch include seating for all participants. A cash bar is expressly prohibited.

**Work related event** is a conference or meeting involving a topical matter of interest within the purview of the agency's mission and function.

## APPENDIX I – BUDGET NARRATIVE

The budget narrative is sometimes referred to as the budget justification. The narrative should serve two purposes: (1) explains how the costs were estimated and (2) justifies the need for the cost. The narrative should include tables for clarification purposes for certain elements (e.g. equipment list with unit costs/quantity).

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The following extract from OMB Circular No. A-87, Attachment A, provides general principles for determining allowable costs. Emphasis is added.

### C. Basic Guidelines

1. Factors affecting allowability of costs. To be allowable under Federal awards, costs must meet the following general criteria:
  - a. **Be necessary and reasonable** for proper and efficient performance and administration of Federal awards.
  - b. **Be allocable** to Federal awards under the provisions of this Circular.
  - c. **Be authorized or not prohibited** under State or local laws or regulations.
  - d. **Conform to any limitations or exclusions** set forth in these principles, Federal laws, terms and conditions of the Federal award, or other governing regulations as to types or amounts of cost items.
  - e. **Be consistent** with policies, regulations and procedures that apply uniformly to both Federal awards and other activities of the governmental unit.
  - f. **Be accorded consistent treatment.** A cost may not be assigned to a Federal award as a direct cost if any other cost incurred for the same purpose in like circumstances has been allocated to the Federal award as an indirect cost.
  - g. Except as otherwise provided for in this Circular, **be determined in accordance with generally accepted accounting principles.**
  - h. **Not be included as a cost or used to meet cost sharing or matching requirements of any other Federal award** in either the current or a prior period, except as specifically provided by Federal law or regulation.
  - i. **Be the net of all applicable credits.**
  - j. **Be adequately documented.**
2. Reasonable costs. A cost is reasonable if, in its nature and amount, **it does not exceed that which would be incurred by a prudent person under the circumstances** prevailing at the time the decision was made to incur the cost. The question of reasonableness is particularly important when governmental units or components are predominately federally- funded. In determining reasonableness of a given cost, consideration shall be given to:
  - a. Whether the cost is of a type generally **recognized as ordinary and necessary** for the operation of the governmental unit or the performance of the Federal award.
  - b. The restraints or requirements imposed by such factors as: **sound business practices; arms length bargaining**; Federal, State and other laws and regulations; and, terms and conditions of the Federal award.
  - c. **Market prices for comparable goods or services.**
  - d. Whether the individuals concerned **acted with prudence** in the circumstances considering their responsibilities to the governmental unit, its employees, the public at large and the Federal Government.

- e. Significant **deviations from the established practices of the governmental unit**, which may unjustifiably increase the Federal award's cost.

### **Sample Budget Narrative Format**

Please provide detailed data, in narrative form, to support the following cost categories:

**Personnel:**

1. Identify each position to be supported under the proposed award by title. A detailed staffing pattern is not required.
2. Briefly specify the duties of professionals to be compensated under this award. Detailed position descriptions and salary ranges are not required.
3. State the amounts of time (such as hours or percentages of time) to be expended by each position under this award.

**Fringe Benefits:** Indicate the basis for computation of rates, including the types of benefits to be provided.

**Travel:** Indicate the estimated number of trips, purposes of travel and average cost per trip of transportation and subsistence.

**Equipment:**

1. Indicate the estimated unit cost for each item to be purchased.
2. Briefly justify the need for items of equipment (tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more) to be purchased.

**Contracts:**

1. Briefly describe the products to be acquired and/or the services to be provided. Justification is not required unless a single contract exceeds \$5,000.
2. Are any sole source contracts contemplated? Provide sufficient detail for justification for the use of a single source for contracts.

**Other:** Please list the significant items that are the basis for the cost category "Other" on the Budget Information sheet.

**Indirect Costs:** Is the amount requested based on a rate approved by a Federal Agency? Is copy of agreement attached to application?